



Institutional Custodial Services Exclusively for Independent Registered Investment Advisors

Advisory Firm Master Account Application

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Net Income	\$43,300	\$67,900	\$77,300	\$80,200	\$88,100
	\$24,100	\$24,600	\$20,800	\$21,800	\$29,600
	\$19,200	\$43,300	\$56,500	\$58,400	\$58,500
	\$3,500	\$3,900	\$2,100	\$3,000	\$3,000
	\$15,700	\$38,400	\$54,400	\$55,300	\$60,000
Ending Cash Balance	\$14,500	\$13,300	\$15,500	\$18,000	\$22,000
	\$7,000	\$7,800	\$9,400	\$8,900	\$7,600
	(\$8,200)	(\$5,400)	(\$6,900)	(\$7,900)	(\$8,600)
	\$13,300	\$15,500	\$18,000	\$20,000	\$18,000
Total Current Assets	\$13,300	\$15,500	\$18,000	\$20,000	\$18,000
	\$17,600	\$18,800	\$19,800	\$19,500	\$21,000
	\$8,300	\$8,200	\$8,300	\$8,200	\$8,200
	\$5,700	\$5,300	\$5,800	\$3,200	\$5,000
	\$42,900	\$43,800	\$52,900	\$53,000	\$47,000
Total Assets	\$28,000	\$30,600	\$48,000	\$58,000	\$60,000
	\$70,900	\$74,300	\$87,900	\$88,000	\$90,000

#1 RIA Custodial platform in the T3/Inside Information Advisor Survey

Winner of WealthManagement.com Award
for Best Technology among RIA Custodians under \$25 billion.

Shareholders Service Group 9845 Erma Road, Suite 312 San Diego, CA 92131-1084
www.ssginstitutional.com

Introduction.

Shareholders Service Group, LLC ("SSG," formerly Shareholders Service Group, Inc.), is registered with the Securities and Exchange Commission ("SEC") as a broker-dealer and is a member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC). SSG is not an investment advisor. SSG was acquired by Altruist Corp ("Altruist") in 2023. Altruist's other subsidiaries are Altruist LLC, an SEC-registered investment adviser, and Altruist Financial LLC, an SEC-registered broker-dealer and member of FINRA/SIPC. Free and simple tools are available to research firms and financial professionals at Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

We offer brokerage services including buying and selling securities to retail investors who are introduced to SSG by an independent registered investment advisor (an "RIA"). SSG does not make investment recommendations or offer investment advice. We do not provide ongoing monitoring of your account. SSG is not a fiduciary to you or to your RIA or your account. SSG does not hold discretionary authority over your account or your securities holdings. All investment decisions and trade instructions received by SSG come from either you or your independent RIA. We offer a wide variety of investment products and many types of investments are available. We do not impose account minimums.

For additional information. You can find more detailed information about our fees and services in the Account Agreement and new account form you receive when you open your account or from your RIA. You can also see our Account Agreement on our website at www.ssginstitutional.com, or request a copy of the Account Agreement or fee schedule from Shareholders Service Group, at 9845 Erma Rd., Ste 312, San Diego, CA 92131, or phone at (800) 380-7370, or email at service@ssginstitutional.com.

Conversation Topics. Questions you might want to ask:

- Given my financial situation, should I choose a brokerage service? Why or why not?
- How will you choose investments to recommend to me?
- What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

What fees will I pay?

SSG charges fees for trade execution services, lending services, and incidental account services. Trade execution service fees can be either per transaction, or with an asset-based fee based on the value of your account at the end of a billing period. Transaction-based execution services means there will be more charges if there are more transactions in the account. Asset-based pricing means there will be a fee regardless of the number of trades or transactions, and you may pay more or less for trades than you might have paid if you subscribed to transaction-based pricing. Lending services, such as margin or non-purpose loans, are services we offer where you pay interest. When you utilize lending services, we receive a portion of the interest you pay. Any decision to utilize these services is made solely by you or your RIA. Incidental service fees are for services such as retirement account maintenance fees, checking/debit card fees, inactivity fees, transfer fees, wire fees, non-sufficient funds fees, overnight delivery fees, and termination fees. You will incur these fees if you use the related services. We *do not* make recommendations.

For additional information. You can find more information about our fees in the Fee Schedule you received with the new account form when you opened your account or from your RIA or by phone at (800) 380-7370 or by writing to: Shareholders Service Group, 9845 Erma Rd., Ste 312, San Diego, CA 92131, or email at service@ssginstitutional.com

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

Conversation Topics. Questions you might want to ask:

- Do I need help understanding how fees and costs might affect my investments?
- If I have \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?

What are your legal obligations to me when providing recommendations?

SSG *does not* make recommendations.

How else does your firm make money and what conflicts of interest do you have?

The way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the services we provide you. Here are some examples to help you understand what this means.

Examples of Ways We Make Money and Conflicts of Interest: If we receive transaction fees for your trades, we make more money when you trade more. If we receive asset-based fees for trading, and you do not trade very often, we will generally have fewer costs and so we would make more money if you trade less. SSG does not have any proprietary products. We receive payments from third party mutual fund companies and money fund sweep programs when you own certain brands or share classes of funds that pay us fees (sometimes referred to as trail fees, 12b-1 fees or service fees), to administer and service your account. If you own variable annuities and we are the broker/dealer of record, we receive trail fees from some of the annuity companies for servicing your account. We receive event sponsorship payments from vendors and industry service providers that participate in our industry conferences. We also make money from incidental services as described in the previous section above. SSG does not normally do principal trades, except for riskless-principal trades. Except for fixed price trades, such as new issues of bonds and stocks, SSG does not normally make money from mark-ups or mark-downs of principal trades. Although we may have some proprietary trading from time to time for the firm's own investments, we do not take the opposite side of customers' trades in order to make money. We do not have any revenue sharing arrangements with the independent RIAs whose clients assets are held with our firm. SSG does not receive payment for order flow.

For additional information. You can find more detailed information in the Fee Schedule and Account Agreement you received with the new account form when you opened your account. You can also receive a copy of our Fee Schedule from your RIA or by phone at (800) 380-7370 or by writing to: Shareholders Service Group, 9845 Erma Rd., Ste 312, San Diego, CA 92131, or email at service@ssginstitutional.com. You can also find a copy of the Customer Agreement on our website at www.ssginstitutional.com.

Conversation Topic. Questions you might want to ask:

-How might SSG's conflicts of interest affect me, and how will you address them?

How do your financial professionals make money?

All employees of SSG are paid a salary or hourly wage by the company and are not compensated by commissions. Employees of SSG are not paid by account size, trade volume, or any other factor related to your investments or the revenue generated by your account.

Do you or your financial professionals have legal or disciplinary history?

Yes. To research the background and experience of financial brokers, advisers and firms visit Investor.gov/CRS or <https://brokercheck.finra.org> for a free and simple search tool to research us and our financial professionals.

Conversation Topic. Questions you might want to ask:

-As a financial professional, do you have any disciplinary history? For what type of conduct?

For additional information about our services. You can find more detailed information about our fees and services in the Fee Schedule and Account Agreement you received with the new account form when you opened your account. You can also receive a copy of our Fee Schedule from your RIA or by phone at (800) 380-7370 or by writing to: Shareholders Service Group, 9845 Erma Rd., Ste 312, San Diego, CA 92131, or email at service@ssginstitutional.com. You can also find a copy of the Account Agreement and a current *relationship summary* on our website at www.ssginstitutional.com.

Conversation Topic. Questions you might want to ask:

- Who is my primary contact person? Is he or she a representative of an investment adviser or a broker-dealer?

- Who can I talk to if I have concerns about how this person is treating me?

Advisory Firm Master Account Application Checklist

Thank you for choosing Shareholders Service Group as your brokerage and custodial firm. The information below will help you establish your master account and set up your relationship with us. **Note: You will not need to use all of the forms in this packet.**

Advisory Firm Master Account Application - Pages 1-6

1. **Complete the Advisory Firm Master Account Application.** *Your Master Account is not for investment use or trading.* It is for business purposes only; to journal your advisory fees, management fees, sundry debits/credits, positions and offsets.

Business Entity Forms

2. Include the Organization Account Questionnaire. (Required for corporations, LLCs, partnerships. Not required for sole proprietors.)
3. Include the appropriate business entity form for your business type. **We require original signatures on the business entity form.**
Note for Sole Proprietorships: the certificate of Sole Proprietorship must be notarized.

Additional Services to Consider

4. Review other available services for your business needs, such as ACH link to bank, data downloads, or performance reporting.

Other Important Items to Include

5. **Update your Form ADV** Part 2, Item 12 and Item 15, the questions regarding brokerage and custodians. Specifically, for Item 12 state as follows: "Advisor is not affiliated with the brokerage firm. Broker does not supervise the advisor, its agents, or activities, or its regulatory compliance." For Item 15, state as follows: "Advisor is not affiliated with the custodian. The custodian does not supervise the advisor, its agents, or activities, or its regulatory compliance." Include your Form ADV Part 2A and 2B and any Schedules. You may also e-mail these documents to us.
6. If you are a Registered Representative, your broker/dealer will need to provide an approval letter ("**Rule 3050 or Rule 407**" letter). It needs to be on the broker dealer's letterhead and signed by a compliance officer. It should state, that they are aware you are taking limited power of attorney over client accounts at Shareholders Services Group, that they approve, and whether or not they wish to receive duplicate statements and confirms. We cannot open your Master Account until the letter from the broker/dealer is received.
7. Include a copy of your **driver's license or passport.**
8. Include your deposit of **\$500** to this Advisory Firm Master Account. The deposit will be swept to the money fund sweep selected. **\$200 will be charged** for set up of your firm and your master account. The remaining deposit balance will be for optional services you select, for errors or offsets, or if you take advantage of one of the third party products and services that we bill for. We must receive a check **made payable to Pershing, LLC.** If you wish to trade options or if you have clients that will be using our Advisors Choice Brokerage (*advisor pays transaction fees for the client*) you must deposit and maintain a balance of **\$5,000.**
9. If you wish to have **your firm's logo** on your client's account statements, please send an electronic file **copy of the logo in jpeg format in at least 300 dpi.** You may email your logo to us.

Next Steps

10. Mail your completed application and documents to
Attn: Advisor Master Accounts
Shareholders Service Group
9845 Erma Road, Suite 312
San Diego, CA 92131-1084
11. Once we receive your Application, we will send you an e-mail regarding our processing of your application. If something is not in good order, we will notify you of what we need from you. It will normally take 3 to 5 business days to establish your firm on our system.
12. Upon the completion of our processing, we will send you a series of welcome e-mails which contain:
 - Your Advisory Firm Master Account number and your Investment Professional number.
 - Your login credentials so you can access our website and trading system.
 - You will receive by mail a new account notice with disclosure information from our clearing firm.

Please call us if you have any questions. We appreciate the opportunity to support your business!



MEMBER SIPC/FINRA/REG'D MSRB

Advisory Firm Master Account Application

9845 Erma Road, Suite 312
San Diego, CA 92131-1084
Phone: (800) 380-7370
Fax: (858) 530-1820
www.ssginstitutional.com

Advisory Firm and Principal Information

Business Type Corporation (Include attached Corporate Resolution) Sole Proprietor (Include attached Sole Proprietor form)
 LLC (Complete attached Limited Liability Company Operating Authority Form and include your Articles of Organization & Operating Agreement) Other

Firm Name		Tax ID or SSN	
Business Address			Which Address should be displayed on your clients' statements? <input type="checkbox"/> Business Address <input type="checkbox"/> Mailing Address
Mailing Address (If different)			
Telephone		Fax	
Business E-mail address		Alternate E-mail Address	
Principal's Name		Social Security Number	Date of Birth
Home Address		Citizenship	
Mobile Phone		Passport Number or Driver's License & State (Include a copy)	
Home Phone	Are you the main contact for the firm <input type="checkbox"/> YES <input type="checkbox"/> NO (If no, assign other Principals and Associates on next page)		

Affiliations

Are you a director, 10% or greater shareholder, or a policy making officer of a publicly traded company? NO YES Company name & symbol _____

Are you or is any advisor at your firm an employee or a Registered Representative of a FINRA member broker/dealer? NO YES
If YES, provide your broker/dealer name _____ Please enclose an approval letter from your B/D (Rule 3050, NYSE Rule 407).

Member of any designations (check all that apply) NAPFA FPA AICPA CFP CPA CFA ChFC

For Management Fee Deduction Service (See attached Advisor Agreement, section: Collection of Client Fees)

Advisors may use SSG's fee deduction service under client authorization. Please review and understand the Collection of Client Fees section of the attached SSG Advisor Agreement. Please also review your Form ADV regarding Custody to ensure you have answered it correctly as it relates to collecting your Advisory Fees through your accounts with SSG.

Check here if you wish to use SSG's Fee Prep Service. (Or call us to learn more about this service and for the Fee-Prep Forms and Agreement you will need in order to set up the optional Fee Prep Service. There is a charge for this service.)

Money Fund Sweeps (Select sweep option below for account deposit, advisory fees and other credits to this account. See details in Account Agreement, para. 24)

Government Money Market fund Sweep—Default (FGR) FDIC Insured Bank Sweep—Interlink Bank Deposits (BDC)

Additional Advisor Identification Information

- 1. Large Trader Rule.** Has your firm or anyone at your firm been identified as a Large Trader under SEC Rule 13h-1? Yes No
If you control or expect to control transactions in exchange-listed securities exceeding two million shares or \$20 million during any calendar day, or 20 million shares or \$200 million during any calendar month, please provide your large trader ID number _____
- 2. Bank Account Reference-Bank Name/Address**(For reference only-this data is not used for any services) _____
3. Are you or is anyone with an interest in this account a **senior military, governmental, or a political official** in the U.S. or a non-U.S. country or closely associated with an immediate family member of such an official? Yes No If Yes, give the name of the official, office held, and country: _____
4. Is this an account for a **Foreign Financial Institution** (e.g. non-U.S. bank; non-U.S. bank branch; broker-dealer; futures merchant; commodities broker; mutual fund; money transmitter or currency exchanger)? Yes No If Yes, submit an Identification Questionnaire for Politically Exposed Persons
5. Is this account to be a **Private Banking Account** as defined under the USA PATRIOT ACT, i.e., an account that is established or maintained for the benefit of one or more non-U.S. persons, requires a minimum aggregate deposit of funds or other assets of not less than \$1,000,000, and is assigned to a bank employee who is a liaison between the financial institution and the non-U.S. person? Yes No
6. Is this an account for a **Foreign Bank** as defined under the USA PATRIOT ACT? Yes No
7. What is the **source of funds** to be deposited or transferred to this account? Check one
 Income from Employment Investment Proceeds Gift Sale of Business Business Revenue/Other (specify) _____

For Internal Use Only Account Number - RIA# Account Category

OFAC Reviewed _____ Date _____ Account Approval _____ Date _____

NA _____ ADV I _____ II _____ ID _____ CR _____ PartAg _____ SoleP _____ LLC _____ Addr _____ Srch _____ Stat _____ Finr _____

Other Principals and Associates

Please provide information about other principals of your firm who make investment decisions, set policy for your firm or other individuals in the firm that need access to accounts at Shareholders Service Group. We may conduct a regulatory review of these individuals' licensing, registrations, and disciplinary disclosures. Attach a separate sheet for additional individuals if necessary. **Include a copy of the driver's license or passport for each associate. Do not share your passwords with other associates.**

Name _____
 Phone _____ Cell _____
 E-mail Address _____
 E-mail Address #2 _____

Type of access to provide for this person:
 Main Contact Trading & Admin Admin service only (No trading access)
 Last 4 digits of Social Security number _____

Name _____
 Phone _____ Cell _____
 E-mail Address _____
 E-mail Address #2' _____

Type of access to provide for this person:
 Main Contact Trading & Admin Admin service only (No trading access)
 Last 4 digits of Social Security number _____

Advisor's Option Trading Experience & Profile

Will you use options in your clients' accounts? NO YES *If yes, complete this section as it applies to you/your principal's experience.*
Note: You must deposit and maintain a balance of \$5,000 in your Master Account before option trading can be done. See "Responsibility for Investments" and "Indemnification" on page 4.

Investment Objectives <i>Check all that apply</i>	Investment Experience			Options Experience	None	Moderate	Extensive
<input type="checkbox"/> Preservation of Capital <input type="checkbox"/> Income <input type="checkbox"/> Income and Growth <input type="checkbox"/> Growth <input type="checkbox"/> Hedging <input type="checkbox"/> Speculation	Number of Years	Size and Frequency	Covered Calls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Options		Purchases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Stocks and Bonds		Spreads/Straddles/ Combinations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Commodities		Uncovered Calls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Other <i>Specify</i>		Uncovered Puts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Advisor's Disclosures Shareholders Service Group may conduct a regulatory review of your licensing, registrations, and disciplinary disclosures.

1. Are there any pending or ongoing lawsuits between you or any member of your firm and any current or former client(s)?
 NO YES *If yes, is it disclosed in your ADV?* NO YES
2. Has any client ever been awarded a judgment against you or any member of your firm?
 NO YES *If yes, is it disclosed in your ADV?* NO YES
3. Are you or is your firm subject to any regulatory investigation or have you or your firm ever been subject to a cease and desist order, any sanction, fine or censure by any regulatory body?
 NO YES *If yes, is it disclosed in your ADV?* NO YES
4. Have you or any principal or IAR of your firm declared bankruptcy (Chapter 11 or 7) or do you have any liens for which you are responsible?
 NO YES *If yes, is it disclosed in your ADV?* NO YES
5. Has any custodian or brokerage firm ever refused new or continuing business from you?
 NO YES *If YES, explain why? Please provide a letter of explanation with this application.*

Agreement & W-9 - Signature Required

E-delivery of Statements and other documents: I have provided my email address on page 1. I have elected to receive my account statements and other documents electronically. I have read and I understand the Electronic Notification Agreement (See page 6).

Advisor Agreement: I have read, I understand and I agree to the terms of the Advisor Agreement attached and to the Account Agreement and Form CRS incorporated by reference. The Account Agreement contains a pre-dispute arbitration clause. (See Account Agreement, Section 16 for details.)

IRS FORM W-9 SOCIAL SECURITY/ TAXPAYER ID CERTIFICATION. Rev 10-2018 This section is not Form W-8, used by nonresident aliens or foreign entities.

If the account is in more than one name, the Taxpayer Number of the account owner who is named FIRST in the account title MUST be provided. (See IRS W-9 instructions.) The Taxpayer Identification provided must match the name given to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see IRS instructions. For other entities, it is your employer identification number (EIN).

Classification (required): Individual/Sole proprietor/Single-member LLC C Corp S Corp Partnership Trust/Estate
 Limited Liability Company. Enter the tax classification (C=corporation, S=S corporation, P=partnership) _____
 Other (See IRS Form W-9 instructions) **Note:** for single-member disregarded LLC, check appropriate box in the first line, not the LLC box.

Exemptions (For entities. See instructions)
 Exempt payee code _____
 Exemption from FATCA reporting code (if any) _____

Under penalties of perjury, I certify that: 1.) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and 2.) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and 3.) I am a U.S. citizen or other U.S. person (defined in IRS Form W-9 Instructions); and 4.) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on IRS Form W-9.

Principal's Social Security Number or Firm's Tax ID number _____ (must provide for IRS W-9) Date _____

Authorized Signature _____ Print Name _____ Title _____

Advisor Agreement

General Representations. To Shareholders Service Group: The Advisor named in this application is a duly organized and legal entity in good standing. Its principals, officers, directors and employees agree to the terms and conditions of this Agreement in consideration for which Shareholders Service Group, Inc. (SSG) will provide brokerage services to the Advisor and its bona fide clients.

Registration. Advisor agrees, represents and warrants that: (1) Advisor is duly registered and in good standing as an investment advisor with the appropriate regulatory agencies; (2) Advisor, and not SSG, is responsible for its compliance with all laws, rules and regulations to which it is subject; (3) Advisor will notify SSG if it ceases or fails to be registered in any jurisdiction where it is required; and (4) Advisor will not engage in any activities which are prohibited under any jurisdiction. Advisor agrees to provide SSG upon request (a) Form ADV Parts I and II, including applicable Schedules; (b) any amended registration documents and verification of state or SEC registration; (c) copies of any regulatory audit reports; and (d) copies of agreements with clients.

Background and Review. Advisor authorizes SSG to obtain FINRA and SEC regulatory records or credit reports of Advisor and its agents. If Advisor is denied a benefit due to information in a credit report, Advisor is entitled a copy of the report upon request within 60 days. Advisor agrees to meet with SSG at Advisor's place of business upon request. Advisor agrees to provide, upon SSG request, with a certification of advisor's oversight and review of clients' portfolios and of advisor's regulatory compliance.

Relationship to SSG: Advisor and its representatives will not represent or imply in any way: (1) that SSG and the Advisor are affiliated or have any relationship except as described in this Agreement; (2) that SSG endorses or recommends the Advisor; (3) that SSG provides supervision, education or training, insurance to the advisor, or investment oversight; or (4) that SSG monitors, approves or reviews the Advisor, its representatives, its investment decisions, client reports, strategies, financial plans, or trading activity.

Responsibility for Investments. Advisor is responsible for investments and activity in client accounts. Advisor represents that: a) it is capable of independently evaluating investment risks, values and strategies, including with municipal securities; b) it exercises independent judgment in evaluating the quality of execution of transactions; c) it has timely access to material information available publicly from established industry sources to evaluate securities prices; and d) that SSG does not exercise discretion as to how or when or which transactions are executed. It is the advisor's responsibility to monitor activity in client accounts and to promptly report to SSG any discrepancies, errors or omissions. SSG will not make investment recommendations, or review the suitability of any investment or transaction, nor offer investment, legal, or tax advice. SSG is not responsible for reviewing, supervising, or monitoring advisor's investment decisions or activity in the client's account. Advisor will notify SSG of any discounts or breakpoints available on investments for its clients. Advisor accepts responsibility for its errors, omissions and liabilities, and will pay promptly any monies due therefrom. In the event that Advisor's firm is not in good standing, its principals, officers, and directors agree to individual personal responsibility for any liabilities.

Indemnification. Advisor indemnifies and holds harmless SSG, its affiliates, directors, officers, employees, and agents from and against all claims, actions, costs, losses and liabilities, including attorney's fees, arising from or relating to: (a) any breach by the Advisor of any provision of this Agreement; (b) the performance or non-performance, delivery or non-delivery of the Advisor's services to the client; (c) any claim concerning risk, suitability, or loss from investments, Advisor's fees, transaction instructions, or investment decisions made by advisor or client; and (d) fraud, malfeasance, or negligence by the advisor or its principals, officers, directors or employees. In the event that Advisor's firm is not in good standing, its principals, officers, and directors agree to individual responsibility for liabilities.

Marketing material. Advisor agrees to provide, upon SSG's request, marketing material used in the Advisor's business. Advisor will not use SSG's name in its website, product/service descriptions or other marketing material without SSG's written approval except in standard disclosure language in regulatory forms and filings using the same descriptions used by SSG.

Collection of Client Fees. Upon client authorization and presentation of an invoice from Advisor, SSG will debit the client account to the extent of available money fund or cash to pay management, consultation, or advisory fees owed by the client. If securities must be sold to pay advisory fees, trade instructions must be provided and fees will apply according to SSG's fee schedule. Advisor agrees (a) to follow all rules and regulations relating to calculation and billing of management fees, advisory fees, or other fees billed to the client; and (b) to send the client simultaneous written notification if required by regulations, showing the amounts of fees invoiced, the period for which fees are due, and the specific manner in which the fees are calculated, including the value of assets, if any, on which the fees are based. Advisor agrees to provide notice to its clients that "It is the client's responsibility to verify the accuracy of the fee calculation. The custodian (SSG) is not responsible for the calculation, verification, supervision, or monitoring of the fees due." SSG is not liable for nonpayment by advisor's clients of fees owed due to transfer of the account, distribution of assets, or loss of principal, or revocation by the client of authorization to pay Advisor's fees, or any other reason. SSG may suspend this service at any time with respect to any or all accounts.

Online Services. Advisor shall be responsible for the confidentiality and use of any User IDs, passwords, and PINs. Advisor agrees that SSG and its agents and affiliates will not be liable for any consequential, incidental, special, or indirect damage (including lost profits, trading losses and damages) that result from inconvenience, delay or loss of the use of the Service even if SSG has been advised of the possibility of such damages. SSG, its agents and affiliates will not be liable for any losses resulting from a cause over which SSG its agents or affiliates does not have control, including but not limited to the failure of electronic or mechanical equipment or communication lines or other connection problems (e.g., if you are unable to access your online account(s), inoperability of software, unauthorized access, theft, operator errors, severe weather, earthquakes, floods, war, and strikes or other labor problems. SSG offers various ways of accessing account(s), including online services.

Client Data Safeguarding and Privacy. Advisor represents that it has adopted and implemented written procedures, safeguarding client information, data and records, that are reasonably designed to: (a) ensure the security and confidentiality of client information; (b) protect against threats or hazards to the security or integrity of client information; (c) protect against unauthorized access to or use of client information that could result in harm or inconvenience to any client; (d) protect against unauthorized disclosure of non-public personal information to unaffiliated third parties; and (e) otherwise ensure compliance with any other federal and state privacy laws or regulations that may be applicable to the access, transfer or storage of client data and information.

PATRIOT Act & Customer Identification. If Advisor is subject to the USA PATRIOT Act, Advisor has procedures in accordance with the Act, maintains a Customer Identification Program, and will maintain relevant documentation to positively identify, at SSG's request, any client it refers to SSG. Advisor will not refer to SSG or maintain an account for any client it believes is or may be (i) a foreign shell bank; (ii) named on a list of known or suspected terrorists; or (iii) a foreign government official. Advisor will notify SSG of any circumstance that would change this representation.

Non-disclosure. All books, records, information, client data, trade secrets, proprietary information, reports, data packages, client lists, marketing plans, pricing formulas, distribution methods, and any technical information such as software, documentation, test results, designs, processes, specifications, instructions, know-how, or formulas, pertaining to the business of either party that are exchanged, sent or received in connection with the services provided by SSG shall be kept confidential and shall not be voluntarily disclosed to any other person, except (a) if such information is already publicly available; (b) as may be required solely for the purpose of carrying out a party's duties and responsibilities to the other party; (c) as required by order or demand of a court or other governmental or regulatory body or as otherwise required by law; (d) as may be required to be disclosed to a party's attorneys, accountants, regulatory examiners or insurers for legitimate business purposes; or (e) with the express prior written permission of the other party.

Telephone Monitoring. Advisor consents that SSG may record telephone calls to monitor the quality of service and verify instructions.

Communications to Clients. The Advisor will have primary responsibility for communicating with clients regarding their accounts except as may be otherwise required by law, rule or regulation, including without limitation brokerage confirmations and account statements, and as SSG otherwise reasonably deems necessary. Advisor will notify clients of SSG's transaction fees and other charges, and will inform client of any changes with respect thereto.

Payment for Services. Advisor agrees to pay fees charged by SSG for services provided, such as data services, special products, client's custodial IRAs and retirement accounts, research, software, brokerage transactions, and other regular and incidental fees for services as requested, including fees owed in client accounts which have insufficient funds to cover the fees. If Advisor elects to use the Advisor's Choice Program, Advisor accepts responsibility for payment of fees on behalf of its clients. Advisor authorizes SSG to post and charge such fees to Advisor's Master Account. Advisor agrees to be responsible for ensuring that sufficient funds are available in the Master Account to cover all fees due. Advisor acknowledges that it is liable for payment upon SSG's demand should the funds available in the Master Account at any time be less than the amount of fees due, and Advisor hereby grants a continuing security interest in and lien on its accounts, securities, monies and management fees due from clients.

Advisor Identification. Upon request of regulatory agents, mutual fund companies or insurance companies, in order to assist with reporting, servicing, and distribution activities, SSG will disclose the identity (name, address, telephone) of the advisor responsible for directing client assets.

Termination of Accounts. Clients may close accounts, transfer or withdraw securities or funds, or terminate authorizations granted to the Advisor at any time. SSG shall not be obligated to honor authorizations that have been granted to the Advisor. SSG reserves the right to close an account at any time, for any reason. Closing an account or terminating an authorization will not affect obligations incurred prior to such closing or termination.

Assignment. Advisor agrees to notify SSG prior to assigning this Agreement to any party. SSG may assign its rights and obligations under this Agreement to any subsidiary, affiliate, or successor by merger or consolidation without notice.

Account Agreement and Disclosures. Advisor has received and accepted SSG's Fee Schedule, Account Agreement, Privacy Policy, PATRIOT Act Disclosure, Mutual Fund Disclosure and Business Continuity Plan. The Account Agreement contains a pre-dispute arbitration clause, acceptance of which is incorporated by reference herein. (See paragraph 16 of the Account Agreement.)

Account Agreement

In consideration of Shareholders Service Group, Inc., ("SSG") accepting and holding an account to provide custodial and brokerage services for me, I understand and agree to the terms of this Agreement, as amended from time to time. I acknowledge that my continued use of my account constitutes my acceptance of this Agreement, as amended from time to time.

1. **Legal Capacity.** I am at least 18 years of age and of full legal age in the state in which I reside.
2. **Risk Disclosure.** I understand that (a) my account is a self-directed account under my authority, managed at the discretion of me or my Advisor; (b) investments in my account involve the risk of fluctuations, loss in value, and possible loss of principal; (c) products and services available through SSG are not insured by the Federal Depository Insurance Corp (FDIC), and are not deposits of, obligations of, or guaranteed by SSG or any other entity unless specifically identified as such.
3. **Security Procedure—Confirmations, Account Statements, and Notices.** Communications, including account statements, confirmations, and Notifications from SSG or its clearing/custodial firm are the only true record of the activity, trades, transactions, assets, and value of my account. I understand and agree that (a) any communications sent to me may be part of SSG's security procedures; (b) that such security procedures are commercially reasonable; and (c) any communications to me are deemed to be authorized and ratified by me if I do not provide written objection within ten (10) days after such communication is sent to me. I agree to promptly notify SSG of any unauthorized activity and/or discrepancies. In all cases, SSG has the right to determine the validity of my objection. This security procedure applies to wire transfers, account transfers, and other account activity.
4. **Disclosure of Professional Status.** I agree to promptly notify SSG in writing if I am now or if I become: (a) registered or qualified with the Securities and Exchange Commission, the Commodities Futures Trading Commission, FINRA, or any exchange or member firm; (b) an "investment advisor;" or (c) an employee of a bank, trust company, or any corporation the majority of the stock of which is owned or controlled by an exchange or broker/dealer.
5. **Applicable Rules and Regulations.** All transactions in my Account shall be subject to the rules, laws, regulations, customs, usages and provisions of the Securities Act of 1933 and the Securities Exchange Act of 1934, as amended, the Securities and Exchange Commission, the applicable Federal Reserve regulations, and other applicable federal, state, or self-regulatory organization rules, and of the exchange, market, or clearing house where transactions are executed by SSG, or its agents, subsidiaries and affiliates.
6. **Non-Fiduciary/No Advice.** I acknowledge that SSG is not an advisor or fiduciary with respect to legal, tax or accounting matters, investment selection, investment strategy, or my best interests. SSG will not provide advice on securities, investments, investment strategies or taxes. I hereby indemnify and hold harmless SSG and its officers, directors, employees, agents and affiliates with respect to suitability of investments and/or transactions for me.
7. **Fees.** Transaction fees, commissions, and other incidental fees will be charged according to SSG's prevailing fee schedule, which I have received from SSG or from my Advisor. SSG may change fees from time to time. I may receive an updated schedule by contacting either SSG or my Advisor.
8. **Transaction Settlements.** SSG is authorized to borrow or otherwise obtain the securities and/or other property necessary to enable SSG to make delivery and settle transactions on my behalf, and I agree to be responsible for any cost or loss SSG may incur, including the cost of borrowing and/or obtaining the securities and/or other property. I agree that SSG is my agent in all such transactions and is authorized to make advances and expend monies as required.
9. **Purchases and Sales of Securities.** I understand that SSG generally requires available funds or an equity deposit prior to acceptance of a purchase order.
10. **Sales of Securities.** I understand that SSG requires that stock certificates be in the account in good deliverable form prior to the acceptance of a sell order. Any order executed without negotiable certificates in the account will be subject, at SSG's discretion, to cancellation or buy-in. Proceeds of a sale cannot be paid out until certificate(s) have been received in good deliverable form and have cleared the books of the issuer's transfer agent.
11. **Liens.** All of the securities and other assets in any account in which I have an interest or which are in the possession or under the control of SSG shall be subject to a lien for the discharge of any and all indebtedness or any other obligation to SSG. In enforcing its lien, SSG at its sole discretion may determine which securities and/or other property are to be sold or which contracts are to be closed. In the event my account is liquidated, I will be liable for any resulting losses and all associated costs incurred by SSG.
12. **Debit Balances and Indebtedness.** I agree to pay upon demand any indebtedness and I authorize SSG to liquidate assets to pay any amounts owed, including reasonable costs, attorney fees, and expense of collection of indebtedness or debit balance. Debit balances in any of my accounts may be charged interest in accordance with SSG's established custom, as disclosed pursuant to the provisions of Rule 10b-16 of the Securities Exchange Act of 1934.
13. **Customer's Responsibility Regarding Certain Securities and Offers.** Certain securities, such as warrants, stock purchase rights, convertible securities, offers to tender or exchange securities may grant the holder valuable rights that may expire unless the holder takes action. I am responsible for knowing the rights and terms of all securities in my Account, which may be altered from time to time by the issuer. SSG and its agents are not obligated to notify me of expiration or redemption dates or to take any action on my behalf, without specific instructions from me, except as required by law and applicable rules of regulatory authorities.
14. **Telephone Recording.** I understand and agree that for our mutual protection SSG may record my telephone conversations with SSG.
15. **Joint Accounts.** If there is more than one owner of the account, then each owner agrees that he or she shall be jointly and severally subject to the obligations of this agreement and to the liabilities for the account. SSG may follow the instructions of any of the joint owners concerning the account.
16. **Arbitration Disclosure.** THIS AGREEMENT CONTAINS A PREDISPUTE ARBITRATION CLAUSE. BY SIGNING AN ARBITRATION AGREEMENT THE PARTIES AGREE AS FOLLOWS:
 - ALL PARTIES TO THIS AGREEMENT ARE GIVING UP THE RIGHT TO SUE EACH OTHER IN COURT, INCLUDING THE RIGHT TO A TRIAL BY JURY, EXCEPT AS PROVIDED BY THE RULES OF THE ARBITRATION FORUM IN WHICH A CLAIM IS FILED.
 - ARBITRATION AWARDS ARE GENERALLY FINAL AND BINDING; A PARTY'S ABILITY TO HAVE A COURT REVERSE OR MODIFY AN ARBITRATION AWARD IS VERY LIMITED.
 - THE ABILITY OF THE PARTIES TO OBTAIN DOCUMENTS, WITNESS STATEMENTS AND OTHER DISCOVERY IS GENERALLY MORE LIMITED IN ARBITRATION THAN IN COURT PROCEEDINGS.
 - THE ARBITRATORS DO NOT HAVE TO EXPLAIN THE REASON(S) FOR THEIR AWARD, **UNLESS, IN AN ELIGIBLE CASE, A JOINT REQUEST FOR AN EXPLAINED DECISION HAS BEEN SUBMITTED BY ALL PARTIES TO THE PANEL AT LEAST 20 DAYS PRIOR TO THE FIRST HEARING DATE.**
 - THE PANEL OF ARBITRATORS WILL TYPICALLY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR ARE AFFILIATED WITH THE SECURITIES INDUSTRY.
 - THE RULES OF SOME ARBITRATION FORUMS MAY IMPOSE TIME LIMITS FOR BRINGING A CLAIM IN ARBITRATION. IN SOME CASES, A CLAIM THAT IS INELIGIBLE FOR ARBITRATION MAY BE BROUGHT IN COURT.
 - THE RULES OF THE ARBITRATION FORUM IN WHICH THE CLAIM IS FILED, AND ANY AMENDMENTS THERETO, SHALL BE INCORPORATED INTO THIS AGREEMENT.
- Arbitration Agreement.** ANY CONTROVERSY BETWEEN YOU AND US SHALL BE SUBMITTED TO ARBITRATION BEFORE THE NEW YORK STOCK EXCHANGE, INC., ANY OTHER NATIONAL SECURITIES EXCHANGE ON WHICH A TRANSACTION GIVING RISE TO THE CLAIM TOOK PLACE (AND ONLY BEFORE SUCH EXCHANGE), OR THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. NO PERSON SHALL BRING A PUTATIVE OR CERTIFIED CLASS ACTION TO ARBITRATION, NOR SEEK TO ENFORCE ANY PREDISPUTE ARBITRATION AGREEMENT AGAINST ANY PERSON WHO HAS INITIATED IN COURT A PUTATIVE CLASS ACTION; OR WHO IS A MEMBER OF A PUTATIVE CLASS WHO HAS NOT OPTED OUT OF THE CLASS WITH RESPECT TO ANY CLAIMS ENCOMPASSED BY THE PUTATIVE CLASS ACTION UNTIL: (I) THE CLASS CERTIFICATION IS DENIED; (II) THE CLASS IS DECERTIFIED; OR (III) THE CUSTOMER IS EXCLUDED FROM THE CLASS BY THE COURT. SUCH FORBEARANCE TO ENFORCE AN AGREEMENT TO ARBITRATE SHALL NOT CONSTITUTE A WAIVER OF ANY RIGHTS UNDER THIS AGREEMENT EXCEPT TO THE EXTENT STATED HEREIN. THE LAWS OF THE STATE OF NEW YORK GOVERN. **Applicability to Persons Not Residing in the U.S.** If I am not residing in the United States at the time of any controversy between me and SSG subject to this arbitration agreement, I agree to the provisions discussed above and the following additional provisions: (1) I agree that the rules of the organization administering the arbitration, namely the Financial Industry Regulatory Authority, Inc., specifically provides for the designation of the place where the arbitration is to take place; (2) All arbitrations shall be held in the English language, unless otherwise agreed to by the parties.
17. **Exchange of Information.** I agree that SSG and its agents may request or exchange personal, financial, credit or other confidential information regarding me in connection with my brokerage account. Information concerning my account will be confidential and will not be distributed, lent or resold by SSG for any purpose other than servicing my account. I authorize SSG to provide information related to my account responding to any subpoena, court order, or regulatory or law enforcement officials exercising appropriate jurisdiction. I expressly authorize SSG to obtain reports concerning my creditworthiness. Upon my written request, SSG will inform me whether it has obtained a credit report and the name and address of any reporting agency that provided it.
18. **Disclosures to Issuers.** Under Rule 14b-1(c) of the Securities Exchange Act of 1934, SSG or its agents are required to disclose to securities issuers the name, address, and position of its customers who are beneficial owners of such issuer's securities, unless I notify SSG in writing of my objection to such disclosure.
19. **Impartial Lottery Allocation System.** When SSG holds bonds or preferred stocks in street or bearer form which are callable, all or in part, I agree to participate in the impartial lottery allocation system of the called securities in accordance with the provisions of the rules of the New York Stock Exchange. I understand that when the call is favorable, no allocation will be made to any account in which SSG, their affiliates, directors, officers or employees, have a financial interest until all other customers' positions in such securities are satisfied on an impartial lottery basis.
20. **Best Execution.** Consistent with the overriding principle of best execution, orders placed through SSG will be routed to primary exchanges and other market centers, including regional securities exchanges and dealers which make markets over-the-counter. In an effort to obtain best execution, SSG or its agents may consider several factors, including price improvement opportunities (executions at prices superior to the then prevailing interest market on OTC or national best bid or offer for listed securities). Details about compensation for a particular transaction will be provided upon request. SSG does not receive cash or non-cash payments for routing order flow, and does not consider reciprocal business arrangements in the routing of its orders.

21. **Payment for Order Flow and Disclosure of Order Routing Practices.** SSG does not receive payment for order flow (compensation received for routing orders to specific market makers and specialists on registered exchanges). As required by SEC Rule 606 and FINRA, SSG discloses payment for order flow practices when opening a new account, annually thereafter, and on confirmations. You may access current details about order routing and execution through our website at <http://www.ssginstitutional.com>
22. **Extraordinary Events.** SSG and its agents will not be liable for losses caused directly or indirectly by government restriction, rulings from exchanges, markets, or regulatory agencies, suspension of trading, computer or telephone failure, war, earthquakes, strikes or any other conditions beyond SSG's control
23. **Mutual Funds.** Mutual funds are sold by prospectus, which describe the funds' risks, objectives, fees, expenses and sales charges. I understand I may receive a prospectus on any fund including Exchange Traded Funds directly from the fund's distributor. SSG's Mutual Fund Network Guide details certain mutual fund risks, limitations and other disclosures. Mutual funds are not FDIC-insured nor guaranteed by the U.S. government and are not deposits or obligations of or guaranteed by any bank and are subject to market risk, including possible loss of principle. SSG may receive service fees, 12b-1 fees, administrative or distribution fees from mutual funds, cash sweep deposits or money market funds. Fees paid to SSG by a fund may be in lieu of transaction fees paid by me, and such transaction fees may be greater or less than fees paid to SSG by the funds, depending on the value of my shares and the length of my holding period. I may avoid SSG's transaction fees by investing directly with the fund. I may hold a share class of a fund which has a higher expense ratio than other share classes available. I agree that share class choices are at the discretion of me or my Advisor, and I agree that SSG has no involvement in selecting a fund or share class for me.
24. **Cash Sweep programs.** SSG has a selection of cash sweep options available through its clearing firm through which uninvested cash balances in my brokerage account may be automatically swept into interest-bearing vehicles. I may choose to have my uninvested cash balances in my brokerage account swept into an eligible money market fund from Federated ("Money Fund") or an eligible FDIC Insured Bank Sweep Program from InterLink Insured Bank Deposits ("Bank Sweep") or other eligible FDIC-insured Bank Sweep program. If no sweep option is selected, the default sweep option will be set up on my account. I understand that the default sweep option is not a recommendation by SSG. Due to federal banking regulations, clearing firm conditions, fund minimums, and fee payment arrangements which reduce the cost of the sweep program, not all sweep options are available to all customers or account types. In most circumstances, SSG receives payments from the sweep option sponsors. The amount of the fee paid to SSG will inversely affect the interest rate paid on the cash balances, reducing the yield on cash balances. I may choose not to sweep uninvested cash to a cash sweep option, however no interest will be paid on uninvested cash if no sweep option is chosen. Other broker-dealers may offer sweep vehicles with different yields, expenses and convenience features. The yields and rates offered by the SSG Cash Sweep Program are competitive. SSG is not obligated to offer other cash sweep vehicle options or to make available other sweep options offering a rate of return that is equal to or greater than other comparable investments. Over any given time period, the interest rate on the Bank Sweep may be lower than the rate of return on other sweep vehicles which are not FDIC insured such as money market funds. As with other investments in my account, my Advisor may select a sweep option for me under authorization(s) I have provided. The Program should not be viewed as a long-term investment option. If I desire, as part of an investment strategy, to maintain a cash position more than a short period of time or to seek the highest yields currently available in the market for cash balances, I or my Advisor will discuss other investment options. My Advisor receives no payment or compensation or other incentive based on the sweep option selected. For a list of sweep options, I will contact my Advisor. A prospectus or a sweep program disclosure, with more complete information, including terms, management fees, rates and expenses, will be sent upon opening an account or making changes to the sweep option. The cash balance in the FDIC bank deposit account or in shares of the money market mutual fund in which I have a beneficial interest can be liquidated upon my request and the proceeds returned to my brokerage account or remitted to me. Upon at least 30 calendar days prior written notice SSG or its clearing firm may: (1) make changes to the terms and conditions of the Sweep Program; (2) make changes to the terms and conditions of a product currently available through the Sweep Program; (3) change, add, or delete products available through the Sweep Program; or (4) change my investment through the Sweep Program from one product to another. If SSG changes the sweep product I currently use, I will receive written notice describing the new terms and conditions of the Sweep Program option selected, and if I do not accept the new terms and conditions I may choose a different option or I may choose not to sweep my uninvested cash to a cash sweep option, however no interest will be paid on uninvested cash if no sweep option is chosen. Information regarding FDIC insurance coverage is available at www.fdic.gov. Cash balances invested in the Bank Sweep program are not covered by SIPC or excess-SIPC coverage. Additional information regarding SIPC coverage is available at www.sipc.org. Cash balances invested in a Money Fund are not covered by FDIC nor guaranteed by the U.S. government and are not deposits or obligations of or guaranteed by any bank and are subject to market risk, including possible loss of principle.
25. **Specialized Investments.** As broker-dealer and/or agent of record for my account, SSG may receive compensation on certain investments in my account, such as limited partnerships or variable insurance products, purchased through SSG or transferred in from other firms. Details about compensation on a particular investment will be provided on request.
26. **For Retirement Plan Sponsors and Participants. Notice** under Employee Retirement Income Security Act of 1974 (ERISA), Section 408(b)(2): I acknowledge this disclosure that SSG is not an investment fiduciary, does not select my investments, (see section 4 above), SSG will charge fees (see section 5 above), and may receive compensation based on investments in my account(s) (see 23 to 25 above).
27. **Municipal Bonds-MSRB- Official Statements.** Municipal bond offering official statements are available electronically at: <http://www.emma.msrb.org>. SSG is registered with the U.S. Securities and Exchange Commission and with the Municipal Securities Rulemaking Board. The website address for the Municipal Securities Rulemaking Board is www.msrb.org. An investor brochure is posted on the website of the Municipal Securities Rulemaking Board that describes the protections that may be provided by the Municipal Securities Rulemaking Board rules and how to file a complaint with an appropriate regulatory authority.
28. **No Waiver.** No provision of this Agreement shall be waived, altered, modified or amended unless agreed to in writing signed by an officer of SSG.
29. **Successors; Assignment.** This Agreement shall be binding upon my heirs, executors, administrators, personal representatives and assigns. This Agreement shall inure to the benefit of SSG and its successors, assigns and agents. SSG may assign its rights and duties under this Agreement to any of its subsidiaries or affiliates without giving notice, or to any other entity upon prior written notice. I will not assign rights and obligations hereunder without first obtaining the prior written consent of SSG.
30. **SIPC.** I may obtain information about the Securities Investor Protection Corp, including a SIPC brochure, from www.sipc.org, or at (202)371-8300.
31. **Complaints.** Send complaints or compliments about the services provided by SSG to Shareholders Service Group, 9845 Erma Rd., Suite 312, San Diego, CA 92131. 858-530-1031
32. **The FINRA Public Disclosure Hotline** telephone number is (800) 289-9999. The FINRA Website address is www.finra.org. A copy of an investor brochure that includes information concerning the FINRA Public Disclosure Program can be obtained by calling the Public Disclosure Hotline or on the FINRA Website, www.finra.org
33. **Clearing and Custody.** Pershing LLC, a subsidiary of The Bank of New York Mellon Corp, clears and carries brokerage accounts on a fully disclosed basis for Shareholders Service Group.

Business Continuity Plan (BCP)

SSG has a Business Continuity Plan with detailed policies and procedures in the event of a significant business disruption (SBD). SSG will take appropriate measures to safeguard employees and property, to assess financial and operational processes, and to protect the books and records. SSG will continue to serve customers in the event of an internal or external SBD through its own means and/or with assistance of our clearing provider, Pershing. Depending upon the type of internal SBD (such as a fire or power outage), SSG may relocate its primary office to its designated alternative site. Business and operational services will continue through normal means with communications via telephone, cell phone, e-mail and the SSG website. In the event of an external SBD (such as a terrorist attack or a natural disaster), SSG and Pershing have back-up facilities and specific arrangements in place to provide continued service. Our clearing agent, Pershing, has its own BCP in place to ensure continuous, reliable delivery of service to customers while maintaining regulatory compliance. Alternative phone numbers to use in the event of a SBD are (858) 603-5543 or for Pershing, (201) 413-3635 or (213) 624-6100, ext. 500. This Business Continuity Plan may be modified at any time as needed. A current Business Continuity Plan summary is available on the SSG website, www.ssginstitutional.com, under "Important Legal Information" on the home page. A written hard copy is available via mail upon request.

USA Patriot Act

The USA PATRIOT Act is designed to detect, deter, and punish terrorists in the United States and abroad. The Act imposes new anti-money laundering requirements on brokerage firms and financial institutions. By April 24, 2002, all brokerage firms were required to have new, comprehensive anti-money laundering programs. To help you understand these efforts, we provide you this information about money laundering and our steps to implement the USA PATRIOT Act.

What is money laundering? Money laundering is the process of disguising illegally obtained money so that the funds appear to come from legitimate sources or activities. Money laundering occurs in connection with a wide variety of crimes, including illegal arms sales, drug trafficking, robbery, fraud, racketeering, and terrorism.

How big is the problem and why is it important? The use of the U.S. financial system by criminals to facilitate terrorism or other crimes could well taint our financial markets. According to the U.S. State Department, one recent estimate puts the amount of worldwide laundering activity at \$1 trillion a year.

What are we required to do to eliminate money laundering? Under rules required by the USA PATRIOT Act, our anti-money laundering program designates a special compliance officer, conducts employee training, conducts independent audits, and establishes policies and procedures to verify the identity of customers, detect and report suspicious transactions, and ensure compliance with the new laws. As part of our required program, we may ask you to provide various identification documents or other information. Until you provide the information or documents we need, we may not be able to open an account or effect any transactions for you. If you have questions, you may contact our Compliance Department at (858) 530-1031.

Sharing information with other financial institutions. We will share information with other financial institutions, including our clearing firm, about persons suspected of terrorist financing and money laundering, for the purpose of identifying and reporting activities that may involve terrorist acts or money laundering and to determine whether or not to establish an account or effect a transaction. We will employ proper procedures to ensure only relevant information is shared.

Privacy Policy Shareholders Service Group ("SSG") Privacy Policy

Shareholders Service Group (SSG) considers the confidentiality of customer information a top priority. In accordance with the Gramm-Leach-Bliley Act and SEC Regulation S-P, "Privacy of Consumer Financial Information," SSG has adopted this privacy policy to address safeguards for the protection of your records and information. We want you to know how we use and protect personal information we obtain from you or other sources in the course of providing you with investment products and services

What Information We May Collect

We collect information needed, including what is required by law and regulation, for our everyday business purposes so that we can provide services to you, such as process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus. Most if not all the personal information we have about you comes directly from you, on applications, forms and other information you provide, whether in writing, in person, by telephone, through your Advisor, electronically or by other means. Such information includes your name, address, financial information, occupation, address of employer, birth date, social security number, e-mail address, phone number, etc. We also maintain records of your account history. We may collect personal information from outside sources, including credit reporting agencies, and CRD (Central Registration Depository) if you are or were associated with the securities industry.

Protecting Your Information

We maintain both physical and electronic safeguards in accordance with federal law and regulatory standards. Employee access to customer information is restricted to those who have a need to know in order to provide you with our services or to comply with laws and regulations. Employees who have access to individual information receive training required to follow company procedures designed to keep that information confidential. We destroy documents that may contain customer information before discarding them. When you are no longer our customer, we continue to safeguard and share your information as described in this notice.

Disclosure of Nonpublic Personal Information

SSG DOES NOT SELL OR SHARE CUSTOMER INFORMATION WITH ANY AFFILIATES OR NON-AFFILIATES FOR THE PURPOSES OF MARKETING OR JOINTLY MARKETING PRODUCTS OR SERVICES TO YOU. WE WILL ONLY SHARE CUSTOMER INFORMATION WITH OTHERS AS STATED IN THIS POLICY, UNLESS WE PROVIDE YOU WITH ADDITIONAL NOTICE OR ASK FOR YOUR PERMISSION, AS REQUIRED BY LAW OR RULE.

We may share Customer Information with unaffiliated third parties who perform services for SSG or in connection with servicing the accounts and products that you have with us. These parties include your Advisor, other financial service providers, clearing firms, such as Pershing LLC, attorneys, accountants, auditors, administrators, insurance companies, payment processing companies, and data processing companies, who assist us in a number of ways in servicing accounts, for example, in fulfilling service requests, processing transactions, producing or providing reports, statements or other communications for you or your Advisor.

We may disclose Customer Information we maintain about you to credit bureaus, regulatory agencies and similar organizations when required or permitted by law. Such shared information may include a disclosure in connection with a subpoena or similar legal process, an investigation, an audit, or examination or requirement under the USA PATRIOT Act. In addition, we may exchange information with reference sources and clearinghouse services for purposes of credit reporting and verification, but we do not share information with affiliates or non-affiliates about your creditworthiness.

Protecting your privacy is an ongoing concern. We evaluate security standards and procedures in order to protect your information with the best available means. Please notify us if it ever appears that our records contain incomplete or inaccurate information about you. We will promptly investigate your concerns and make any necessary corrections. SSG will provide customers an initial notice of its privacy policy at the time of opening an account, and thereafter it will provide annual privacy updates. SSG reserves the right to make changes to this policy. The statement of this Privacy Policy including updates is available at our home office, on our company website at www.ssginstitutional.com, and wherever such documents are required. The Compliance Officer is responsible for implementing and monitoring this policy.

SSG's services are not offered to, targeted at, or designed for persons or data subjects residing in the European Economic Area or European Union.

Electronic Notification Agreement - E-Delivery of Statements, Confirmations and other materials

If I have so indicated on the Account Application, I wish to view my account(s) online and receive statements, confirmations, notices, and prospectuses electronically. I understand that by electing to receive electronic delivery of brokerage account communications as outlined below, I will no longer receive paper copies via postal mail, unless electronic versions are unavailable.

To stop receiving paper account statements, trade confirmations and/or other documents as they may be made available (the "Account Communications"), I agree to accept and receive electronic notification that the Account Communications are available online for my retrieval (the "Service"). "I" means the account owner(s) and/or authorized user(s) of the account. "Authorized user" means a person that I have authorized with full access to my account and that has been granted a user ID.

By accepting electronic delivery of the Account Communications, I am agreeing to the electronic delivery of all notices, disclosures and other information relating to my account that are communicated with or within the Account Communications. The Account Communications will be available to me online via www.mydocumentsuite.com, a service provided by Pershing LLC on behalf of my financial organization ("Shareholders Service Group" or "SSG"), or a website provided to me by Pershing LLC on behalf of my financial organization. I understand that I will be notified by electronic mail (e-mail) when these documents are available to be viewed online. The e-mail notification(s) will be sent to the e-mail address(es) established when registering with this service, or that have otherwise been provided. I may modify the e-mail address(es) through the website or by contacting my financial organization. In the event of an e-mail notification failure as defined by Pershing, Pershing will terminate this arrangement and I will revert to receiving paper documents until such time that I re-enroll through the mydocumentsuite.com or other website service as indicated by my financial organization.

By accepting this Agreement, I affirm that I have a valid e-mail address on record with my financial organization, have access to the Internet and I am at least 18 years of age. I also affirm that I have installed Adobe Acrobat Reader version 4.0 or higher or similar software to view my Account Communications. I agree that electronic delivery of the Account Communications is deemed accepted, regardless of whether a particular document is accessed or viewed. I may print or save a copy of the Account Communications at any time. I may request a mailed copy of my Account Communications by contacting my financial organization.

My consent to accept electronic delivery of the Account Communications is effective until revoked by Pershing, my financial organization or me. I may revoke my consent and resume receiving paper Account Communications by changing my delivery preferences by following the instructions on the website, or by contacting my financial organization directly for assistance. Changes to the electronic delivery settings for my accounts may be made by any authorized user, such as a joint account owner. In the event that I lose access to the website, I may contact my financial organization in order to have my access reinstated, or I may register directly via mydocumentsuite.com, or other website service as indicated by my financial organization.

I am responsible for maintaining the confidentiality of my user ID and password, and for restricting access to my computer, and I agree to accept responsibility for all activities that occur under my user ID or password.

I expressly agree and acknowledge that my use of the Service is at my sole risk. None of Pershing, nor SSG, nor their respective directors, officers, employees, agents, contractors, affiliates, information providers or service providers warrant that the mydocumentsuite.com or other website service will be uninterrupted or error free. Neither Pershing nor SSG warrants the timeliness, sequence, accuracy, completeness, reliability or content of any information with respect to accessing electronic information. The service provided herein is on an "as is," "as available" basis and without warranties including, without limitation, those of merchantability, fitness for a particular purpose or non-infringement other than those warranties which are implied by and incapable of exclusion, restriction or modification under the laws, rules and regulations applicable to this service.

I agree to abide by these terms and conditions as they may be amended from time to time; amended terms will be posted on www.mydocumentsuite.com or the website provided by Pershing LLC on behalf of my financial organization. My continued use of either website will constitute my acceptance of the then-current terms and conditions. The terms and conditions of this Agreement set forth the entire understanding and agreement between us with respect to the subject matter hereof.

Please keep this page for your records.

Please fill out one of the following business entity forms for your business type. **We will need to receive the original signatures on the document required for your business entity type.**

- Organization Account Questionnaire**
- Corporate Resolution Certification**
- LLC Resolution Certification**
- Certificate of Sole Proprietorship** *The Certificate of Sole Proprietorship must be notarized.*

Please include the appropriate document with your Advisory Firm Master Account Application.

Additional Services Available for your firm and your Master Account

Cost Basis & Quarterly Performance Reports

- Cost Basis is tracked and displayed for free online for clients via Net Exchange Client and for Advisors via NETX 360. If you want **Cost Basis** to show on your client's statement, call us for the Cost Basis form. There is a charge for this option.

SSG Performance Reports

- If you wish to use the **SSG Performance Reports** service, please complete the Cost Basis & Quarterly Performance Reports form. You may add this service later. However, the performance data is tracked only from the date you subscribe to the service and **not** from the date you established the client account. Call us to learn more.

Portfolio Management Data Downloads

- Please call us for our Data Downloads Setup form to set up **data downloads** for a particular Portfolio Management System. You may add this service later, however, the account data is provided only from the date you subscribe to the service, and **not from the date you established the client account**. Call us to learn more.

Note: You may need to complete the data download form to use an outsourced solution like Black Diamond, Albridge, Investigo, or eMoney. Contact us to sign up or learn more about one of these outsourced solutions.

Investment Research Services

- Subscribe to your choice of over 40 leading research products including robust quote services, news services, equity research, mutual fund and financial planning tools through our **Optional Research Program**. Call us for the Research Subscription Form or to learn more.

ACH Bank link

- To set up ACH transfers between your Advisory Firm Master Account and your bank account, please request an ACH form.

Fee Prep Service

- Fee Prep Service - SSG can calculate and help you prepare your management fee invoices. Call us to learn more

Advisor's Advantage Program

Products and Services Designed for RIAs

Learn More About Valuable Products and Services to Help you with your Business!

To help you successfully grow and manage your business, take advantage of SSG's **Advisor's Advantage Program**. It provides your firm with discounts on industry leading products and services that help advisors build and maintain their practices. Advisors working with Shareholders Service Group may receive preferred pricing from this select group of vendors, which include:

- Practice Management Tools
- Compliance Services
- Financial Planning Tools
- E & O Providers
- Marketing & Communications
- Portfolio Management Solutions

Call us at (800) 380-7370 to learn more about these products and services.



Member FINRA/ SIPC/ Reg'd MSRB

9845 Erma Road, Suite 312
 San Diego, CA 92131
 Phone: (858) 530-1031
 Fax: (858) 530-1820

Organization Account Questionnaire

For Corporations, LLCs, Partnerships and Charitable Organizations

Federal regulations require SSG to assist the federal government in efforts to fight money laundering and other financial crimes. Please provide the information below to identify the entity as well as the Authorized Individuals, Control Persons, and Beneficial Owners. We may require additional documentation.

Name of Organization (as shown on the charter or other legal document creating the corporation)		
Country of Incorporation	State of Incorporation	Date of Incorporation (mm/dd/yyyy)
Organization's website URL Address		
Organization's primary purpose and field of activity		
Products or services that the Organization provides		
Name of your primary regulator		
Purpose of this account		

Please complete the information below for each individual director, officer, employee, or agent of the organization that is authorized to buy and sell securities, withdraw or transfer cash or securities, sign contracts, waivers, or releases, and otherwise conduct business on behalf of the Organization. SSG will have no obligation of further inquiry with respect to the validity of, or authority with respect to, any transaction or instruction provided by an Authorized Individual.

Name	Title	Address	SSN	% Ownership

If any person above is a non-US citizen, indicate the name of the person and country of citizenship.
 Name _____ Country of citizenship _____

Identification of Beneficial Owner(s)

Please complete this section for each owner of 25% or more, all control persons (individuals with significant responsibility for managing the organization), and any owner or control person that is another legal entity.

Name	Title	Address	SSN/TIN	% Ownership	Control Person Y/N

If any person above is a non-US citizen, indicate the name of the person and country of citizenship.
 Name _____ Country of citizenship _____

- Check here if any person above is affiliated with a broker-dealer or FINRA member firm.
- Check here if any person above is a director, 10% shareholder, senior officer or control person of a publicly traded company.

If you checked either box above, provide the following information in connection to that person:

Name _____ Company Name _____ Stock Symbol _____

Company Address _____ City _____ State _____ ZIP _____

Identification of Authorized Individuals(s) *Provide copy of a Driver's License or Passport for each beneficial owner and each person authorized to conduct business for the organization.*

A minimum of two signatures of corporate officers are required to open an account. One signature must be from the Chairman of the Board, CEO, President, or any Vice President; the second signature must be from the Secretary, any Assistant Secretary, the Chief Financial Officer, the Treasurer, or any Assistant Treasurer.

I hereby certify to the best of my knowledge that the information provided above is complete and correct.

Print Name

Title

Authorized Signature

Date

I hereby certify to the best of my knowledge that the information provided above is complete and correct.

Print Name

Title

Authorized Signature

Date

Corporate Resolution Certification

STEP 1. ACCOUNT INFORMATION

Account Title	Account Number
	—

STEP 2. CERTIFICATION

I HEREBY CERTIFY that at a meeting, duly called, of the Board of Directors of _____, a Corporation, at which said meeting a quorum was present and acting throughout, the following preamble and resolution was adopted and ever since has been and now is in full force and effect.

WHEREAS this Corporation is duly authorized and permitted by its Charter and Bylaws to:

- Engage in cash and/or margin transactions in any and all forms of securities including, but not limited to, stocks, options, mutual funds, stock options, stock index options, short sales, foreign currency options and debt instrument options, bonds, bond debentures, annuities, notes, scrips, participation certificates, rights to subscribe, warrants, certificates of deposit, mortgages, choses in action, evidences of indebtedness, commercial paper certificates or indebtedness, and certificates of interest of any and every kind and nature whatsoever, secured or unsecured, whether represented by trust, participating and/or other certificates or otherwise.
- Receive on behalf of the Corporation or deliver to the Corporation or third parties, including but not limited to the President, Vice President, Treasurer or any other authorized officer or person listed in Step 3 below giving such instruction, monies, stocks, bonds, and other securities. To sell, assign, and endorse for transfer, certificates representing stocks, bonds, or other securities now registered or hereafter registered in the name of the Corporation.
- Establish and maintain an asset management account with debit card, check writing and margin privileges, from which account funds are directly spent, in the names of each authorized person and/or any additional signatories (as indicated in the separate Asset Management Account Agreement), the responsibility for which is entirely that of the Corporation.
- Borrow money or make any contract the effect of which is to borrow money, and secure such obligations by mortgages or other liens upon Corporate property; borrow, guarantee and/or pledge any Corporate assets as collateral, as the case may be, with respect to a loan; guarantee a borrowing of money or to make any contract the effect of which is to guarantee a borrowing, and secure such obligations by mortgages or other liens upon any Corporate property.

NOW THEREFORE BE IT RESOLVED that this Corporation opened an account or accounts in its name with

Name of Introducing Firm

- and that the individuals named in Step 3 below ("Authorized Person") or any one of them acting individually, may, on behalf of this Corporation, be and they hereby are and each of them hereby is authorized and empowered to (1) give written or oral orders in the said account or accounts for the purchase, sale, or other disposition of stocks, bonds, and other securities, (2) deliver to and receive from Pershing LLC (Pershing), on behalf of this Corporation monies, stocks, bonds, and other securities, (3) establish and maintain an asset management account with debit card, check writing and margin privileges from which account funds are directly spent with each authorized person as indicated in the separate asset management account agreement having check writing and debit card privileges, (4) order the transfer or delivery of funds, monies or securities to any other person whatsoever, including the President, Vice President, Treasurer or any other authorized officers or persons indicated below giving such instructions, (5) sign acknowledgements of the correctness of all statements of accounts, (6) borrow, pledge, guarantee or otherwise encumber Corporate assets, and (7) make, execute, and deliver under the corporate seal any and all written endorsements, releases and documents necessary or proper to effectuate the authority hereby conferred; the within authorization to each of said officers to remain in full force and effect until written notice of the revocation thereof shall have been received by

_____ and Pershing.
Name of Introducing Firm



STEP 3. CERTIFICATION AND SIGNATURES

I FURTHER CERTIFY that the following are the names, titles and signatures of the officers (or others) authorized by the foregoing resolution to act for this Corporation:

Printed Name	Date _ _ _ _ _ _ _ _ _
Title	
Signature	

X

Printed Name	Date _ _ _ _ _ _ _ _ _
Title	
Signature	

X

Printed Name	Date _ _ _ _ _ _ _ _ _
Title	
Signature	

X

Printed Name	Date _ _ _ _ _ _ _ _ _
Title	
Signature	

X

Printed Name	Date _ _ _ _ _ _ _ _ _
Title	
Signature	

X

Certification

This individual may or may not be listed in the authorized persons box above and may also be an Officer, Director, Secretary or Sole Officer/Secretary of the corporation.

Printed Name	Date
Title	
Signature	

If the Certification is executed by a Signer who is empowered to act for the Corporation pursuant to these resolutions and certifications, but is not an Officer of the Corporation, an Officer must complete and execute the Additional Certification in Step 4 below.

If the Corporation has only one Sole Officer, that Sole Officer must make the certification immediately above indicating his or her company title in addition to filling in and executing the Additional Certification in Step 4 below.

STEP 4. ADDITIONAL CERTIFICATION

This section to be completed only if the Signer in Step 3 above is authorized to act pursuant to the foregoing Resolutions, but is not an Officer of the Corporation, OR if the Corporation has only one Officer.

Check one:

- I FURTHER CERTIFY that the Signer in Step 3 above is authorized by the foregoing resolutions and its operating documents to act hereunder if listed as an authorized person.
- I FURTHER CERTIFY that the Corporation has only one Sole Officer/Secretary and that I am that Sole Officer/Secretary and am authorized to execute legal and binding documents in the name of and on behalf of the Corporation pursuant to its governing documents.

Printed Name	Date
Title	
Signature	

LIMITED LIABILITY COMPANY RESOLUTION CERTIFICATION

I. ACCOUNT INFORMATION

ACCOUNT TITLE: _____

ACCOUNT NUMBER: -

II. CERTIFICATION

WE HEREBY CERTIFY that at a meeting, duly called, of the Members of _____, a limited liability company ("Limited Liability Company"), at which said meeting a quorum was present and acting throughout, the following preamble and resolution was adopted and ever since has been and now is in full force and effect.

WHEREAS this Limited Liability Company is duly authorized and permitted by its Operating Agreement to:

- (1) Engage in cash and margin transactions in any and all forms of securities including, but not limited to, stocks, options, mutual funds, stock options, stock index options, short sales, foreign currency options and debt instrument options, bonds, bond debentures, annuities, notes, scrips, participation certificates, rights to subscribe, warrants, certificates of deposit, mortgages, choses in action, evidences of indebtedness, commercial paper certificates or indebtedness, and certificates of interest of any and every kind and nature whatsoever, secured or unsecured, whether represented by trust, participating and/or other certificates or otherwise.
- (2) Receive on behalf of the Limited Liability Company or deliver to the Limited Liability Company or third parties, including but not limited to the Managing Members, Members, President, Vice President, Treasurer or any other authorized officer or person listed in Section III below giving such instruction, monies, stocks, bonds, and other securities. To sell, assign, and endorse for transfer, certificates representing stocks, bonds, or other securities now registered or hereafter registered in the name of the Limited Liability Company.
- (3) Establish and maintain an asset management account with debit card, check writing and margin privileges, from which account funds are directly spent, the responsibility for which is entirely that of the Limited Liability Company.

NOW THEREFORE BE IT RESOLVED that this Limited Liability Company opened an account or accounts in its name with

Name of Introducing Firm

and that the individuals named in Section III below are the Managing Members ("Managing Members") and they or any one of them acting individually, may, on behalf of this Limited Liability Company, be and they hereby are and each of them hereby is authorized and empowered to (1) give written or oral orders in the said account or accounts for the purchase, sale, or other disposition of stocks, bonds, and other securities, (2) deliver to and receive from Pershing LLC (Pershing), on behalf of this Limited Liability Company monies, stocks, bonds, and other securities, (3) establish and maintain an asset management account with debit card, check writing and margin privileges from which account funds are directly spent with each authorized person as indicated in the separate asset management account agreement having check writing and debit card privileges, (4) order the transfer or delivery of funds, monies or securities to any other person whatsoever, including the Managing Members, Members, President, Vice President, Treasurer or any other authorized Managing Member indicated below giving such instructions, (5) sign acknowledgements of the correctness of all statements of accounts, and (6) make, execute, and deliver under the corporate seal any and all written endorsements, releases and documents necessary or proper to effectuate the authority hereby conferred; the within authorization to each of said Managing Members to remain in full force and effect until written notice of the revocation thereof shall have been received by

_____ and Pershing.

Name of Introducing Firm

III. CERTIFICATION AND SIGNATURE

WE FURTHER CERTIFY that the following are the names, titles and signatures of the Managing Members authorized by the foregoing resolution to act for this Limited Liability Company:

Managing Members Name (print): _____ Title: _____ Signature: _____

Managing Members Name (print): _____ Title: _____ Signature: _____

Managing Members Name (print): _____ Title: _____ Signature: _____

Managing Members Name (print): _____ Title: _____ Signature: _____



IN WITNESS WHEREOF, We have hereunto set our hand and affixed the seal of said Limited Liability Company this

(AFFIX CORPORATE/COMPANY
SEAL HERE IF LIMITED LIABILITY
COMPANY USES A SEAL)

_____ day of _____, 20_____



ALL MEMBERS OF THE LIMITED LIABILITY COMPANY MUST SIGN

Member Name (print): _____

Signature: _____

Date: _____

Member Name (print): _____

Signature: _____

Date: _____

Member Name (print): _____

Signature: _____

Date: _____

Member Name (print): _____

Signature: _____

Date: _____

Member Name (print): _____

Signature: _____

Date: _____

Member Name (print): _____

Signature: _____

Date: _____

Member Name (print): _____

Signature: _____

Date: _____

Member Name (print): _____

Signature: _____

Date: _____

Member Name (print): _____

Signature: _____

Date: _____



9845 Erma Road, Suite 312
 San Diego, CA 92131
 (858) 530-1031 • (800) 380-7370
www.ssginstitutional.com

Certificate of Sole Proprietorship

Use this form to indicate the authorized signer for your sole proprietorship. IT MUST BE NOTARIZED.

Section 1			
SSG Account Number <i>(If known)</i>	Social Security/Tax ID#	SSG RIA# <i>(If known)</i>	
Account Registration:			
Section 2			
Business Name of Sole Proprietorship:			
Street Address	City	State	Zip
Identification Document Type <i>(Any documentation provided by your state, if none state below)</i>	ID Number <i>(If Provided by State)</i>		
Place of Issuance <i>(City and State in which you became a Sole Proprietor)</i>	ID Expiration Date	ID Issuance Date	
	MM/YYYY	MM/YYYY	
Section 3			
Owners Name	Social Security Number		
Residence Address <input type="radio"/> check here if same as account address	Birth Date	Home Phone	
<input type="radio"/> Check here if you or any member of your immediate family is employed by a bank, insurance company, investment adviser or broker/dealer, then provide the name of the individual and the company below.			
Name:	Company Name:		
<input type="radio"/> Check here if you or any member of your immediate family has been a corporate officer, director or 10% or more shareholder of any public corporation within the past three months, then provide the corporation name below.			
Name of Corporation (s):			
Section 4			
<p>I hereby certify that the business identified in Section 2 is a sole proprietorship, that I am the sole owner of said company, and there is no one else having any right, title, or interest therein. As the sole owner of the company, I am the only person authorized to sell, assign, or endorse for transfer certificates representing stock, bonds, or other securities registered in the name of or on behalf of said company. As the sole owner of the company I hereby authorize you to accept checks for credit to my personal account that are drawn on this company. I will notify Shareholders Service Group immediately in the event of any change of ownership, title or interest in the business.</p>			
_____	_____	_____	
Sole Proprietor's Signature	Sole Proprietor's Name (Print)	Date	
<p><u>Notary required</u> Subscribed and sworn to before me this _____ day of _____, 20____</p>			
<p>_____ Notary Public</p>			